



GRAY DAVIS, Governor

## DEPARTMENT OF CORPORATIONS

MARIA CONTRERAS-SWEET, Agency Secretary  
DEMETRIOS A. BOUTRIS, California Corporations Commissioner

AN EQUAL OPPORTUNITY EMPLOYER TO ALL REGARDLESS OF RACE, COLOR, CREED, NATIONAL ORIGIN, ANCESTRY, SEX, MARITAL STATUS, DISABILITY, RELIGIOUS OR POLITICAL AFFILIATION, AGE OR SEXUAL ORIENTATION.

IT IS AN OBJECTIVE OF THE STATE OF CALIFORNIA TO ACHIEVE A DRUG-FREE STATE WORKPLACE. ANY APPLICANT FOR STATE EMPLOYMENT WILL BE EXPECTED TO BEHAVE IN ACCORDANCE WITH THIS OBJECTIVE BECAUSE THE USE OF ILLEGAL DRUGS IS INCONSISTENT WITH THE LAW OF THE STATE, THE RULES GOVERNING CIVIL SERVICE, AND THE SPECIAL TRUST PLACED IN PUBLIC SERVANTS.

### EXAMINATION ANNOUNCEMENT FOR

#### CAREER EXECUTIVE ASSIGNMENT (C.E.A.) (Assistant Commissioner, Office of Law and Legislation)

The Department of Corporations is an Equal Opportunity Employer regardless of race, color, creed, national origin, ancestry, sex, marital status, disability, religious or political affiliation, age, or sexual orientation.

It is the objective of the State of California to achieve a drug-free state work place. Any applicant for State employment will be expected to behave in accordance with this objective because the use of illegal drugs is inconsistent with the law of the State, the rules governing civil service and the special trust placed in public servants.

**FOR THE DEPARTMENT OF:** Corporations

**POSITION TITLE:** Assistant Commissioner, Office of Law and Legislation, (CEA - Level 5)

**POSITION LOCATION:** 1515 K Street, Sacramento, California

**FINAL FILE DATE:** July 2, 2001 (RECEIVED BY 5:00 P.M.)

#### DUTIES/RESPONSIBILITIES:

Under the administrative direction of the California Corporations Commissioner, the Assistant Commissioner, Office of Law and Legislation, is responsible for providing appropriate analysis and counsel with respect to the solicitation, marketing and sale of securities, franchises, and off-exchange commodities to California residents; appropriate analysis and counsel with respect to Department of Corporations' licensees engaged in consumer and commercial finance lending, residential mortgage lending, and independent escrow businesses; developing, formulating and recommending to the Commissioner, through study, investigation and analysis of legal, economic, financial, industrial and market developments affecting the laws administered by the Commissioner, changes in law and regulations or the modification of programs.

The Office of Law & Legislation also serves as liaison for the Commissioner on law and legislative matters, and in relation to the Securities and Exchange Commission, the Federal Trade Commission, the Commodities Futures Trading Commission, securities administrators of other states, the California Attorney General, and other public and private agencies and organizations. The Assistant Commissioner also confers with licensees and other interested persons and members of the public in relation to problems and questions pertaining to the laws and regulations under the jurisdiction of the Commissioner and interpretations involving questions affecting the laws and regulations administered by the Commissioner.

#### MINIMUM QUALIFICATIONS:

Applicants must meet the following minimum qualifications by the final file date (July 2, 2001):

Membership in the State Bar of California. (Applicants must have active membership in the California State Bar before they will be eligible for appointment).

#### And I

Must be a civil service employee with permanent civil service status.

#### Or II

Must be a current or former employee of the Legislature for two or more consecutive years as defined in Government Code Section 18990.

### Or III

Must be a non-elected exempt employee of the Executive Branch for two or more consecutive years as defined in Government Code Section 18992.

### Also

Applicants must satisfy the following minimum qualifications:

Ability to perform high administrative and policy influencing functions effectively. Such overall ability requires possession of most of the following more specific knowledge and abilities:

- (a) Knowledge of the organization and functions of California State government including the organization and practices of the Legislature and the Executive Branch; principles, practices, and trends of the public administration, organization, and management; techniques of organizing and motivating groups; program development and evaluation; methods of administrative problem solving; principles and practices of policy formulation and development; personnel management techniques; the department's or agency's Equal Employment Opportunity Program; and a manager's role in the EEOP.
- (b) Ability to plan, organize, and direct the work of multidisciplinary professional and administrative staff; analyze administrative policies, organization, procedures and practices; integrate the activities of a diverse program to attain common goals; gain the confidence and support of top level administrators and advise them on a wide range of administrative matters; develop cooperative working relationships with representatives of all levels of government, the public, and the Legislative and Executive Branches; analyze complex problems and recommend effective courses of action; prepare and review reports; and effectively contribute to the department's or agency's equal employment opportunity objectives.

These abilities and knowledge are expected to be obtained from the following kinds of experience (experience may have been paid or volunteer; in California state service, other government settings, or in a private organization):

Broad and extensive administrative and/or program manager experience with substantial participation in the formulation, operation, and/or evaluation of program policies.

Where highly technical professional qualifications are of primary importance in performing the duties of a given CEA position, then the above required experience may have been in a staff capacity exercising professional skills to influence and contribute to program, policy and methods of providing those professional services. Primary examples are medical doctors and attorneys.

### DESIRABLE QUALIFICATIONS:

Administrative experience in a managerial/supervisory/senior capacity at least equivalent to a Staff Counsel III/Senior Corporations Counsel (Specialist) including the execution and/or evaluation of program policies, legislation, rules opinions and procedures. Experience must demonstrate the ability to communicate with legislators, local governmental jurisdictions, federal governmental jurisdictions, industry, community, and civic leaders. Experience must demonstrate the development and implementation of policies, legislation, rules, opinions, and procedures. Specific desirable qualifications include:

- Broad and extensive experience (5 or more years) and knowledge interpreting, administering implementing and developing laws, rules, policies and/or opinions regarding the Corporate Securities Law of 1968; the Security Owners Protection Law; Capital Access Company Law; Bucket Shop Law; California Commodity Law of 1990; Franchise Investment Law; Check Sellers, Bill Payers and Proraters Law; Escrow Law; California Finance Lenders Law; Securities Depository Law; and California Residential Mortgage Lenders Act
- Broad and extensive experience planning, organizing, directing and reviewing the work of staff consisting of attorneys and support staff in an investment and/or lender-fiduciary program, and an enforcement program.
- Conducting hearings pertaining to investment and/or lender-fiduciary issues.
- Advising executive management concerning interpretations of law, policies and procedures pertaining to the laws described above regarding investment and/or lender-fiduciary issues.
- Conferring with and providing assistance to companies, counsel and other interested persons and members of the public in relation to problems and questions pertaining to investment and/or lender-fiduciary interpretation of laws, rules and policies which govern investment and/or lender-fiduciary issues.

**EXAMINATION INFORMATION:**

A preliminary review of all applications will occur immediately following the final file date to determine entrance eligibility. Candidates will be ranked according to the education and experience that is provided on a standard State application form (678) that is pertinent to the above described "Desirable Qualifications" and, criteria developed from the minimum qualifications stated above. All candidates will be notified of their rank and a selection for the position will be made from candidates in the top rank. Therefore, it is imperative that applicants complete the application thoroughly. Specifically, indicate the dates of employment (month, day, year - beginning and ending), name of employer and a detailed description of duties performed (resumes and other pertinent documents may be attached to provide sufficient detail of the duties performed; however, the application form must be completed and signed).

**USE AND APPLICATION OF EXAMINATION PROCESS:**

The results of this examination will be used solely to fill the Assistant Commissioner, Office of Law and Legislation (CEA Level 5) vacancy. For further information regarding this examination, contact Linda Bender, Examination Analyst, Human Resources Office, at (916) 327-2442 or CALNET 8-467-2442.

**FILING INSTRUCTIONS:**

Applications must be received by 5:00 p.m. July 2, 2001. Submit a Standard State application, Form 678, to Linda Bender, Human Resources Office, 1515 K Street, Sacramento, California 95814 or in person to the address provided herein. Whether the application is hand delivered, mailed or "faxed" (916-323-1250), it must be received in the Human Resources Office by 5:00 p.m. on July 2, 2001, no exceptions. (Please provide your social security number on the application form for eligibility verification.)